



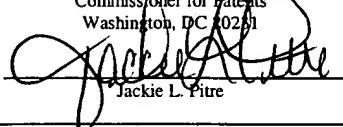
GP 2163
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078
Filed: October 3, 2001
Inventor(s):
John Bunda

§ Examiner: Unknown
§ Group/Art Unit: 2163
§ Atty. Dkt. No: 5226-02200

Title: METHODS AND
SYSTEMS FOR
MANAGING A
PORTFOLIO OF
SECURITIES

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8	
DATE OF DEPOSIT: 11-22-02	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to: Commissioner for Patents Washington, DC 20231	
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Technology Center 2100

Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references D1-D4) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-02200/EBM.

Respectfully submitted,



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Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement Use several sheets if necessary 	ATTY. DOCKET NO: 5226-02200		SERIAL NO: 09/970,078		
	APPLICANT: John Bunda				
	FILING DATE: October 3, 2001		GROUP: 2163		
U.S. PATENT DOCUMENTS					
EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS
	D1	6,317,728 B1	11/13/01	Kane	Sub Class
	D2	5,819,238	10/06/98	Fernholz	
	D3	5,640,505	06/17/97	Hearn et al.	
FOREIGN PATENT DOCUMENTS					
EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS
					Sub Class
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)					
	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.			
EXAMINER:			DATE CONSIDERED:		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.					